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UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 109026-0055P1

First Inventor or Application Identifier F. Joseph Pompei

Title PARAMETRIC AUDIO SYSTEM

Express Mail Label No. EL056804349US

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ *Fee Transmittal Form (e.g., PTO/SB/17)

(Submit an original and a duplicate for fee processing)

2. ☒ Specification [Total Pages 32]

(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. ☒ Drawing(s) [Total Sheets 13]

4. Oath or Declaration [Total Pages]

a. ☐ Newly executed (original copy)

b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 17 completed)
(Note Box 5 below)

DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Sequence Submission

((if applicable, all necessary))

- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (Identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))

9. ☐ 37 C.F.R. § 3.73(b) Statement (when there is ☒ Power of Attorney an assignee)

10. ☐ English Translation Document (if applicable)

11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

14. ☐ *Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired ((PTO/SB/09-12))

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☐ Other:

*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment.

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/116,271

Prior application Information: Examiner

Group/Art Unit:

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name Steven J. Frank

Address Cesari and McKenna
30 Rowes Wharf

City Boston

State

MA

Zip Code

02110

Country U. S. A.

Telephone

(617) 951-2500

Fax

(617) 951-3927

Name (Print/Type)

Steven J. Frank

Registration No. (Attorney/Agent)

33,497

Signature

Date

April 27, 1999

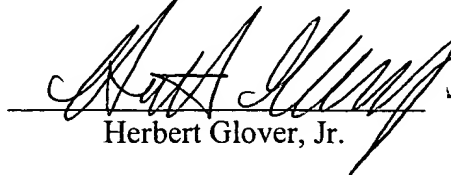
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:)	
F. Joseph Pompei)	
)	Examiner: Not Yet Assigned
Serial No.: Not Yet Assigned)	
)	
Filed: Herewith)	Art Unit: Not Yet Assigned
)	
For: PARAMETRIC AUDIO SYSTEM)	
		Cesari and McKenna, LLP
		30 Rowes Wharf
		Boston, MA 02110
		April 27, 1999

CERTIFICATE OF EXPRESS MAILING

“Express Mail” Mailing-Label Number: EL056804349US

I hereby certify that the following Continuation-in-part Application (32 pages), Formal Drawings (13 pages), Fee Transmittal, Utility Patent Application Transmittal, Assignment, Recordation Form Cover Sheet, Information Disclosure Statement, PTO-1449 Form, copies of cited references and checks in the amounts of \$2104.00 and \$40.00 are being deposited with the United States Postal Service “Express Mail Post Office to Addressee” service pursuant to 37 C.F.R. §1.10 in an envelope addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231, on April 27, 1999.


Herbert Glover, Jr.

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

Complete If Known

Application Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	F. Joseph Pompei
Examiner Name	Not Yet Assigned
Group / Art Unit	Not Yet Assigned
Attorney Docket No.	109026-0055P1

TOTAL AMOUNT OF PAYMENT (\$) 2,144

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

03-1237

Deposit
Account
Name

Cesari and McKenna, LLP

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. §§1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money ☐ Other Order

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	760 201	380	Utility filing fee	760			
106	310 206	155	Design filing fee				
107	480 207	240	Plant filing fee				
108	760 208	380	Reissue filing fee				
114	150 214	75	Provisional filing fee				
SUBTOTAL (1) (\$) 760							

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
47 - 20** = 27	18	486	
Independent Claims 14 - 3** = 11	78	858	
Multiple Dependent		0	

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18 203	9	Claims in excess of 20	
102	78 202	39	Independent claims in excess of 3	
104	260 204	130	Multiple dependent claim, if not paid	
109	78 209	39	**Reissue independent claims over original patent	
110	18 210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) 1,344

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130 205	65	Fee Surcharge - late filing fee or oath				
127	50 227	25	Surcharge - late provisional filing fee or cover sheet				
139	130 139	130	Non-English Specification				
147	2,520 147	2,520	For filing a request for reexamination				
112	920 112	920*	Requesting publication of SIR prior to Examiner action				
113	1,840 113	1,840*	Requesting publication of SIR after Examiner action				
115	110 215	55	Extension for reply within first month				
116	380 216	190	Extension for reply within second month				
117	870 217	435	Extension for reply within third month				
118	1,360 218	680	Extension for reply within fourth month				
128	1,850 128	925	Extension for reply within fifth month				
119	300 219	150	Notice of Appeal				
120	300 220	150	Filing a brief in support of an appeal				
121	260 221	130	Request for oral hearing				
138	1,510 138	1,510	Petition to institute a public use proceeding				
140	110 240	55	Petition to revive - unavoidable				
141	1,210 241	605	Petition to revive - unintentional				
142	1,210 242	605	Utility Issue fee (or reissue)				
143	430 243	215	Design Issue fee				
144	580 244	290	Plant Issue fee				
122	130 122	130	Petitions to the Commissioner				
123	50 123	50	Petitions related to provisional applications				
126	240 126	240	Submission of Information Disclosure Stmt				
581	40 581	40	Recording each patent assignment per property (times number of properties)	40			
146	760 246	380	Filing a submission after final rejection (37 CFR 1.129(a))				
149	760 249	380	For each additional invention to be examined (37 CFR 1.129(b))				
Other (specify)							
Other fee (specify)							
SUBTOTAL (3) (\$) 40							

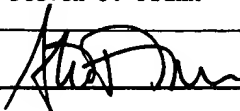
*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Typed or
Printed Name

Steven J. Frank

Signature



Date

April 27, 1999

Complete (if applicable)

Reg. Number

33,497

Deposit Account User ID